

UC927 U.S. PTO  
10/007092  
12/04/01

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Attorney Docket No. YOR9-2000-0832 US2 (8728-526)

|                       |               |
|-----------------------|---------------|
| <i>First Inventor</i> | Stephane Maes |
|-----------------------|---------------|

|              |  |
|--------------|--|
| <i>Title</i> | Systems and Methods for Implementing.... |
|--------------|--|

|                        |               |
|------------------------|---------------|
| Express Mail Label No. | EL797416042US |
|------------------------|---------------|

## APPLICATION ELEMENTS

*See MPEP chapter 600 concerning utility patent application contents.*

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 106]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 19]
5. Oath or Declaration [Total Pages ]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))  
 10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
*(when there is an assignee)*  
 11. ☐ English Translation Document *(if applicable)*  
 12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations  
 13. ☐ Preliminary Amendment  
 14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*  
 15. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*  
 16. ☐ Nonpublication Request under 35 U.S.C. 122  
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35  
 or its equivalent.  
 17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

### Prior application information

*Examiner*

*Group Art Unit:*

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ *Customer Number or Bar Code Label*

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

|      |                           |
|------|---------------------------|
| Name | F. Chau & Associates, LLP |
|------|---------------------------|

|  |                         |
|--|-------------------------|
|  | 1900 Hempstead Turnpike |
|--|-------------------------|

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|---------|-----------|

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|------|-------------|

|       |          |
|-------|----------|
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|-------|----------|

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Country

Telephone

(516) 357-0091

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(516) 357-0092

Name (Print/Type)

Frank V. DeRosa

Registration No. (Attorney/Agent) 43,584

*Signature*

Date \_\_\_\_\_

12/4/01

**Burden Hour Statement** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231**

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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ ) 776.00**Complete if Known**

|                      |                               |
|----------------------|-------------------------------|
| Application Number   |                               |
| Filing Date          | December 4, 2001              |
| First Named Inventor | Stephane Maes                 |
| Examiner Name        |                               |
| Group Art Unit       |                               |
| Attorney Docket No.  | YOR9-2000-0832 US2 (8728-526) |

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account.

|                        |                      |
|------------------------|----------------------|
| Deposit Account Number | 50-0510/IBM          |
| Deposit Account Name   | IBM/Yorktown Heights |

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account
**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740                    | 201 370                    | Utility filing fee     | 740.00   |
| 106 330                    | 206 165                    | Design filing fee      |          |
| 107 510                    | 207 255                    | Plant filing fee       |          |
| 108 740                    | 208 370                    | Reissue filing fee     |          |
| 114 160                    | 214 80                     | Provisional filing fee |          |

**SUBTOTAL (1)** (\$ ) 740.00**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims       | Extra Claims  | Fee from below | Fee Paid |
|--------------------|---------------|----------------|----------|
| Independent Claims | 22 - 20** = 2 | 18.00          | 36.00    |
| Multiple Dependent | 3 - 3** = 0   | 84.00          |          |
|                    |               | 280.00         |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 84                     | 202 42                     | Independent claims in excess of 3                          |
| 104 280                    | 204 140                    | Multiple dependent claim, if not paid                      |
| 109 84                     | 209 42                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ ) 36.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES****Large Entity | Small Entity**

| Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|---------------|---------------|--|----------|
| 105 130       | 205 65        | Surcharge - late filing fee or oath  |          |
| 127 50        | 227 25        | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130       | 139 130       | Non-English specification  |          |
| 147 2,520     | 147 2,520     | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*      | 112 920*      | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*    | 113 1,840*    | Requesting publication of SIR after Examiner action                        |          |
| 115 110       | 215 55        | Extension for reply within first month                                     |          |
| 116 400       | 216 200       | Extension for reply within second month                                    |          |
| 117 920       | 217 460       | Extension for reply within third month                                     |          |
| 118 1,440     | 218 720       | Extension for reply within fourth month                                    |          |
| 128 1,960     | 228 980       | Extension for reply within fifth month                                     |          |
| 119 320       | 219 160       | Notice of Appeal   |          |
| 120 320       | 220 160       | Filing a brief in support of an appeal                                     |          |
| 121 280       | 221 140       | Request for oral hearing   |          |
| 138 1,510     | 138 1,510     | Petition to institute a public use proceeding                              |          |
| 140 110       | 240 55        | Petition to revive - unavoidable   |          |
| 141 1,280     | 241 640       | Petition to revive - unintentional   |          |
| 142 1,280     | 242 640       | Utility issue fee (or reissue)   |          |
| 143 460       | 243 230       | Design issue fee   |          |
| 144 620       | 244 310       | Plant issue fee  |          |
| 122 130       | 122 130       | Petitions to the Commissioner  |          |
| 123 50        | 123 50        | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180       | 126 180       | Submission of Information Disclosure Stmt                                  |          |
| 581 40        | 581 40        | Recording each patent assignment per property (times number of properties) | 0        |
| 146 740       | 246 370       | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 740       | 249 370       | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 740       | 279 370       | Request for Continued Examination (RCE)                                    |          |
| 169 900       | 169 900       | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 0**SUBMITTED BY**

Name (Print/Type) Frank V. DeRosa

Registration No. 43,584  
(Attorney/Agent)**Complete (if applicable)**

Telephone 516-357-0091

Signature

Date

12/4/01

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Sir:

ATTORNEY DOCKET NO. YOR9-2000-0832 US2 (8728-526)  
Date: December 4, 2001  
Express Mail Label: EL797416042US  
Date of Deposit: December 4, 2001

Transmitted herewith for filing is the Patent Application of:

Inventors: Stephane Maes, David Boloker, Jan Kleindienst, Tomas Macek, TV Raman

For: SYSTEMS AND METHODS FOR IMPLEMENTING MODULAR DOM (Document Object Model)-BASED MULTI-MODAL BROWSERS

Enclosed are: [X] 100 sheets of specification; [X] 1 sheet(s) of Abstract; [X] 5 sheet(s) of claims; [X] 19 sheet(s) of drawing(s);

- [ ] An assignment of the invention to: International Business Machines Corporation, Armonk, New York,  
with Recordation Form.
- [ ] Declaration and Power of Attorney.
- [ ] A certified copy of a \_\_\_\_\_ application, from which priority under Title 35 USC §119 is claimed.
- [ ] Associate Power of Attorney.

The filing fee has been calculated as shown below:

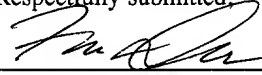
| (Col. 1)   |           | (Col. 2)  | OTHER THAN A<br>SMALL ENTITY |           |
|--|-----------|-----------|------------------------------|-----------|
| FOR:   | NO. FILED | NO. EXTRA | RATE                         | FEE       |
| BASIC FEE  |           |           |                              | \$ 740.00 |
| TOTAL CLAIMS   | 22 -20 =  | 20        | X \$18 =                     | \$ 36.00  |
| INDEP CLAIMS   | 3 -3 =    | 0         | X \$84 =                     | \$ .00    |
| MULTIPLE DEPENDENT CLAIMS PRESENTED                                    |           |           | + 280 =                      |           |
| If the difference in Col. 1 is less than zero, enter "0"<br>in Col. 2. |           |           | TOTAL                        | \$ 776.00 |

- ☒ Checks in the amount of \$\_\_\_\_\_ and \$\_\_\_\_\_ to cover the filing fee(s) and recording fee are enclosed.
- ☒ Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$776.00.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). **A duplicate copy of this sheet is enclosed.**

- [X] Any additional filing fees required under 37 CFR 1.16.
- [X] Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

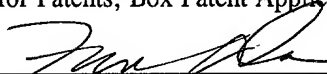
By:

  
Frank V. DeRosa  
Registration No. 43,584  
Attorney for:  
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P.O. Box 218  
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Tel: (516) 357-0091  
Fax: (516) 357-0092

**CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date December 4, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL797416042US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

  
Frank V. DeRosa